

Violation Number	Date SAR Filed	SAR Bates Stamp	Low Trading Volume (Partially Reviewed)	Court's Ruling	Notes regarding calculation
1771	4/29/2013	ALPINE00114360	ALPINE00293830 pg 6	Summary judgment granted as to SARs wherein Alpine failed to include in the narrative the trading volume "when the deposit was greater than twenty times the average daily trading volume, measured over the three months prior to the deposit." (p. 82). Trial will be reserved for the precise ratio beyond the twenty times amount.	LTV: 12.19 ratio - SJ NOT granted (Shares: 75 million/Average Vol.: 6,153,239)